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(7 - 11 Octobre 1991)

EXECUTIVE COMMITTEE OF THE
HIGH COMMISSIONER'S PROGRAMME

Forty-second session

(7 - 11 October 1991)

LISTE DES REPRESENTANTS ET OBSERVATEURS
LIST OF REPRESENTATIVES AND OBSERVERS

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AUSTRALIE - AUSTRALIA

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Mr. John McCarthy	First Assistant Secretary, International Legal Division, Department of Foreign Affairs and Trade, Canberra

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Mr. Gerald K. Campbell	Counsellor, Permanent Mission of Canada to the United Nations Office at Geneva
Mr. François Arsenault	Director, International Humanitarian Assistance Division, Canadian International Development Agency, Ottawa
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Ms. Li Xiaoyi	Third Secretary, Department of International Organizations and Conferences, Ministry of Foreign Affairs, Beijing

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FRANCE (continued)

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Mr. Zenji Kaminaga	Minister, Permanent Mission of Japan to the United Nations Office at Geneva
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Mr. Carlos Twesigomwe	Deputy Director of Refugees, Ministry of Local Government, Kampala

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Ms. Lourdes O. Yparraguirre	Third Secretary, Permanent Mission of the Philippines to the United Nations Office at Geneva
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Mr. Mubarak Talha	Director of Protection Department, Sudan
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SUEDE - SWEDEN

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TURQUIE - TURKEY (continued)

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ETATS NON MEMBRES - NON-MEMBER STATES

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BURUNDI

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CAMEROUN - CAMEROON

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COTE D'IVOIRE (continued)

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SWAZILAND

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Mr. Francis Maphalala	Member of POLASCO, Mbabane

REPUBLIQUE FEDERATIVE TCHEQUE ET SLOVAQUE
CZECH AND SLOVAK FEDERAL REPUBLIC

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REPUBLIQUE DE BIELARUS - REPUBLIC OF BELARUS

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UNION DES REPUBLIQUES SOCIALISTES SOVIETIQUES -
UNION OF SOVIET SOCIALIST REPUBLICS

Mr. Y.V. Roschin	Deputy Minister of Labour, Moscow
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Mr. Y.D. Pokhilko	First Secretary, Permanent Mission of Union of Soviet Socialist Republics to the United Nations Office at Geneva
Mr. K.L. Khitrov	First Secretary, the Human Rights Department, Ministry of Foreign Affairs, Moscow

UNION DES REPUBLIQUES SOCIALISTES SOVIETIQUES - (continued)
UNION OF SOVIET SOCIALIST REPUBLICS

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ZIMBABWE

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ORDRE SOUVERAIN DE MALTE - SOVEREIGN ORDER OF MALTA

S.E. M. Edouard Decazes	Ambassadeur, Délégué permanent adjoint, Delégation permanente de l'Ordre souverain de Malte auprès des organisations internationales à Genève
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MOUVEMENTS DE LIBERATION - LIBERATION MOVEMENTS

AFRICAN NATIONAL CONGRESS

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Mr. Archie Abrahams	Administrator, South Africa

PAN AFRICANIST CONGRESS OF AZANIA

Dr. Peter Mabe	Chief of Repatriation, Johannesburg
Mr. Keke Nkula	Chief Representative, Dar-es-Salaam, East Africa

AUTRE(S) ORGANISATION(S) AYANT RECU UNE INVITATION PERMANENTE A PARTICIPER AUX SESSIONS ET AUX TRAVAUX DE L'ASSEMBLEE GENERALE EN QUALITE D'OBSERVATEUR
OTHER ORGANIZATION(S) WHICH HAVE RECEIVED A STANDING INVITATION TO PARTICIPATE IN THE SESSIONS AND WORK OF THE GENERAL ASSEMBLY AS OBSERVERS

PALESTINE

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SYSTEME DES NATIONS UNIES
UNITED NATIONS SYSTEM

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Mr. Michael Stopford	Chef de Cabinet
Mr. Donald Krumm	Head of Operations

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ORGANISATION MONDIALE DE LA SANTE
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CENTRE DES NATIONS UNIES POUR LES ETABLISSEMENTS HUMAINS
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Mr. Bouri Sanhouidi	Chief, Africa Section
Ms. Estela Singh	Chief, Latin America & the Caribbean

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Mr. Robert G. Paiva	Executive Officer
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Mr. David Wittlesey	Chief, Division for Asia and Oceania
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ORGANISATION DE L'UNITE AFRICAINE
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Mr. Amr. A. Moukhtar	Deputy Permanent Observer, Organization of African Unity, Geneva
Mrs. T.S. Karumuna	OAU Bureau for Refugees, Addis Ababa
Mr. D. Negousse	Counsellor, Organization of African Unity

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EXECUTIVE COMMITTEE OF THE
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UNHCR'S CAPACITY TO RESPOND TO EMERGENCIES*

1. The development and ongoing review by UNHCR of its emergency-preparedness and response capabilities are essential for an efficient discharge of its mandate. Member States have been regularly informed, especially through the appropriate sections of the Overview document (contained for the forty-second session in A/AC.96/775) of developments in this area. In 1989, the Executive Committee was alerted to a number of proposals being formulated in relation to early warning, staffing for emergencies and an emergency stockpile (A/AC.96/729, para. 84). The Report of the Board of Auditors presented to the same session of the Executive Committee also recommended the creation of an emergency stockpile (A/AC.96/730, paras. 80-83). It will also be recalled that the Executive Committee in 1990 recognized the need for the High Commissioner to have a higher degree of flexibility to ensure funding of ongoing needs under approved General Programmes and of initial emergency needs under Special Programmes, pending the receipt of contributions pledged (A/AC.96/760, para. 29B). This flexibility was subsequently assured by a range of measures, including changes made by the Executive Committee to the Financial Rules governing the Emergency Fund (A/AC.96/768, para. 11).

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* This document was presented to the forty-second session of the Executive Committee of the High Commissioner's Programme under the symbol EC/SC.2/1991/CRP.14.

2. At the June 1991 Informal Meeting of the Executive Committee, the High Commissioner indicated that she would present proposals on emergency preparedness and response to the forty-second session of the Executive Committee.

3. This Conference Room Paper sets out a range of initiatives aimed at assuring UNHCR's emergency-preparedness and response capability. These initiatives are distinct from, yet not unrelated to, broader measures being discussed to assure an adequate UN system-wide response to complex and protracted emergency situations. In such situations, a coherent and rapid response by the UN system must be based on an effective assignment of responsibilities among the organizations and agencies of the system; but it also presupposes that each organization and agency concerned has the capacity to contribute to such a response. The measures presented in this Paper, which are aimed at further strengthening UNHCR's capacity to respond to refugee situations, will also assure the quality of UNHCR's contribution to any broader UN system-wide response.

4. This Conference Room Paper, presented for the information of the Executive Committee, has focused on the mobilization of funds, personnel and relief items, three critical areas where gaps and shortcomings in UNHCR's capacity to respond to emergencies have been identified.

I. FUNDING

5. The availability of funds is a necessary (but not always sufficient) pre-condition to assure an effective response to man-made emergency situations. As mentioned above, the Executive Committee addressed the need of the High Commissioner to have a greater degree of flexibility to respond immediately to a range of emergency situations. The mechanism designed to facilitate immediate interventions in new refugee situations is the Emergency Fund. Among the measures approved by the Executive Committee in February 1991 was an increase in the level of the Emergency Fund from $ 10 million to $ 20 million, along with the authority to allocate within this new ceiling up to $ 6 million from the Fund for any one emergency.

6. Further changes were also made to the Financial Rules relating to the Working Capital and Guarantee Fund (WCGF). Among these changes were provisions to use the WCGF to fund temporary gaps during the year in the Annual Programme and the Emergency Fund, pending receipt of contributions and also to cover unforeseen, limited end-of-year shortfalls in the Annual Programme and the Emergency Fund.

7. Another measure that will enhance the timely and effective utilization of UNHCR's financial resources is the proposal to restore the Programme Reserve to the previous level of 10 per cent of the approved General Programmes budget.

II. STAFFING

8. A system for improving and accelerating the staffing of emergency situations must be one of the fundamental emergency-preparedness activities of UNHCR. The deployment of qualified, experienced and trained staff has been

one of UNHCR's most difficult challenges in recent major refugee emergencies. Whatever level of success has been achieved in meeting this challenge has not been without cost. UNHCR can only go so far in drawing on personnel from other duty stations to respond to emergencies. Even when such personnel are replaced, which is rarely the case, it creates an unavoidable disruption in other programmes which, over time, proves extremely harmful. There needs to be a balance between ongoing and emergency requirements. To maintain this balance, and to be able to respond to emergencies in such a way that the right people are fielded at the right time, UNHCR requires a flexible mechanism.

9. The envisaged comprehensive emergency staffing system has a number of elements, chief of which is the concept of Emergency Response Teams.

Emergency Response Teams

10. UNHCR's recent experiences in the Persian Gulf emergency have underscored the importance of teams of staff, with a wide variety of expertise, to respond to emergencies. To this end, it is proposed to designate five Emergency Response Teams, each normally comprising five staff experienced in a variety of functions, including programming, protection, and administration. Each team would be led by an Emergency Preparedness and Response (EPR) Officer (see below).

11. The staff who would make up the Emergency Response Teams, while remaining in their normal posts, would nevertheless be on stand-by at all times to proceed to an emergency situation. The designation of responsibilities of the Teams, especially a regional focus, will be done in a flexible manner in accord with changing needs. The current obvious focus would be on the Horn of Africa and the Persian Gulf regions. The Team members would meet from time to time with the Team Leader to review preparedness plans and potential emergency situations, as well as to attend Emergency Management Training refresher courses. The regional focus of the Teams should serve to expedite deployment and response, but the Teams could also be sent to other regions in cases of other large-scale emergencies.

Emergency Preparedness and Response Officers

12. To head these Emergency Response Teams, UNHCR proposes to provide for five professional posts in the Emergency Preparedness and Response Section. In addition, these officers would be given specific functional responsibilities in the Section as well as designated regional responsibilities. These posts would be designated "Emergency Preparedness and Response Officers".

13. The EPR Officers would be responsible for all aspects of emergency preparedness and response in their regions. Most importantly, the EPR Officers will embody UNHCR's response capacity by being the person, in case of an emergency, immediately despatched to the field as the Team Leader of the Emergency Response Team. He/she would be responsible for putting into place the structure and systems required to ensure the smooth running of the relief operation. In cases of large-scale emergencies in other regions, EPR Officers could be readily redeployed.

14. In non-emergency periods, the EPR Officers would be responsible to ensure that a number of essential preparedness measures are met. These measures would include, inter alia, assisting Field Offices and Regional Bureaux in the development of appropriate early-warning systems and emergency contingency plans, arranging emergency-management training courses, and identifying availability of resources and buffer-stocks in emergency-prone areas. The EPR Officers would also provide proposals to management on the fine-tuning and further development of preparedness and response measures, using the lessons learned from specific emergency operations.

15. The EPR Officers will not supplant the responsibility of Field Offices or Regional Bureaux to undertake emergency preparedness and response activities. Rather, the EPR Officer will be available to provide the expertise to ensure that preparedness activities are undertaken and will provide the stand-by capacity to ensure the required emergency response.

Emergency Roster

16. As a critical back-up to the Emergency Response Teams, an Emergency Roster will be established. The roster will be comprised of approximately 80 UNHCR staff members, both in the Professional and senior General Service categories, trained in the Emergency Management Training Programme. A wide range of expertise will be available among roster members. Such members will be called forward by the Emergency Response Team as they are needed, in some cases to replace Team members after the initial phase of the emergency and, in other cases, to augment the response by serving as field officers.

Technical Specialist Roster

17. In all emergency situations, technical expertise is required immediately. Normally this includes the sectors of logistics, nutrition, health, water, sanitation, site planning and social services. Most of this expertise is available in the Programme and Technical Support Section (PTSS). In the event of an emergency, however, it is necessary to have available more than one expert within a sector as well as experts who are able to remain with the programme for several months.

18. To enable the speedy identification of technical specialists, UNHCR maintains a computerized roster of over 500 experts, many of whom already have extensive experience with UNHCR. This roster will be reviewed so as to make it easier to identify experts according to their speciality, nationality, language ability and regional experience. In addition, another possible source of technical expertise could be from the ranks of the UN Volunteers. Since, however, it has long been recognized that it is often more effective to hire experts who are nationals of the host country rather than bring in only expatriate personnel, a roster of locally-available specialists is also being established.

External Personnel

19. In certain types of refugee emergencies, UNHCR requires not only quick but also a visible presence to ensure that fundamental principles of assistance and protection are maintained. Sometimes a need exists for a level of staffing that UNHCR cannot meet. A recent example of this was the emergency situation in Turkey, Iraq and the Islamic Republic of Iran. UNHCR entered into arrangements with certain non-governmental organizations for the secondment of staff on a short-term basis. The seconded individuals were able to be mobilized quickly, and were willing to work as part of the UNHCR team.

20. UNHCR is in the process of establishing a structured mechanism for the call-up of short-term, seconded staff in large-scale emergencies. UNHCR will enter into agreements with a small number of agencies and organizations which will maintain their own emergency rosters. Certain procedures will need to be developed to cover stand-by arrangements and the mobilization of such staff. They should be sent only after the Emergency Response Teams are in place. In addition, UNHCR will provide such personnel with basic briefing before deployment to the field. There will also be a need to establish clear statements of authority and reporting relationships for seconded staff. Finally, there will be evaluations of such external emergency staff by UNHCR emergency managers for use by both the agency and UNHCR in future emergencies.

III. EMERGENCY RELIEF SUPPLIES

21. Recent developments have underlined, more than ever, the need for UNHCR to enhance its capacity speedily to provide life-saving material assistance in emergency situations. This was also recognized by the UN Board of Auditors, who in 1989 recommended, inter-alia, that UNHCR should identify emergency and special needs, develop specifications and design, conduct market searches for competitive sources and stock items in reasonable quantities, where appropriate.

22. UNHCR commissioned a consultancy on emergency stockpiling in June 1989. The resulting feasibility study thoroughly examined various options: UNHCR could establish its own warehousing facility, either managing and providing all necessary associated services itself, or contracting with a commercial firm for both warehouse space and all services; UNHCR could negotiate extended procurement contracts with suppliers, who would guarantee to make available a certain quantity of goods at short notice; or UNHCR could, through a special cooperation agreement, utilize the services of another organization or agency which had an existing, proven capacity for warehousing and despatch.

23. The study then recommended using the established warehousing and despatch services of another organization or agency. However, financial constraints prevented UNHCR from pursuing the recommendations at that time. In the meantime, the proposal to establish a stockpile has been further refined on the basis of recent emergencies.

24. UNHCR's intention is not simply to stockpile and hold in warehouses relief items, but rather to make the most efficient use of its resources, with better controls allowing a quicker and more effective emergency response. It

should be understood that what is under discussion is an emergency stockpile and not a substitute for various buffer-stock arrangements for ongoing programmes.

25. Parallel to the need for a stockpile of emergency relief items is the requirement for adequate logistical arrangements in order to ensure relief arrives in a timely manner. While proper contingency planning should help to lessen the need for costly air shipments, in certain cases where the arrival rate of new refugees is very high, airlifts may be the only means of ensuring survival. Recent emergencies have demonstrated the value of having aircraft at UNHCR's disposal for a limited period. To this end, standby logistical arrangements with Governments will be further pursued.

Emergency Stockpile Requirements

26. Many items are urgently required in an emergency situation. UNHCR emergency stockpile requirements are foreseen to cover tents, tarpaulins, plastic sheeting, blankets, kitchen sets, water equipment, sanitation equipment, communications equipment and Rubb Hall warehouses. Items recommended for stockpiling are those which require considerable lead time from the placement of a purchase order to arrival in-country. Other items (such as emergency health kits, soap, cold-chain equipment, etc.) are usually available from the suppliers within one or two weeks. Items with shelf-lives of less than one year will not be stockpiled, thereby excluding vaccines and certain other medicines. These, in any case, are usually available quickly.

27. In regard to the quantities to be provided in stockpiles, these are generally based on a population of 50,000. While there are valid arguments to stockpile for more than 50,000, UNHCR would wish initially to take a phased approach and test the system before making further commitments.

Stockpile Focus and Location

28. UNHCR is continuing discussions with Governments, intergovernmental and non-governmental organizations on an agreement that would enable UNHCR to use their services, on a priority basis, for the stockpiling and despatch of emergency materials. The essential elements of the arrangement would be:

- Procurement of items required for the UNHCR stockpile will be undertaken by UNHCR.

- The agency will be responsible for warehouse and stock management; upon request from UNHCR, the agency will give priority to the issuance, export packing and shipment of materials belonging to the UNHCR stockpile.

- When stocks are drawn, UNHCR will initiate replenishment action.

29. All supplies will be stored at the agency's warehouse with the following exceptions:

- Family tents and tarpaulins, which are bulky commodities, will remain stored, at nominal costs, in the region where the current primary suppliers are located. Contingency plans will be drawn up to ensure the rapid despatch of these items.

- Communications equipment and other administrative supplies will be kept at UNHCR Headquarters as these will ordinarily be an essential part of the deployment of the Emergency Response Team.

- Certain other items will be left with suppliers where satisfactory and cost-effective arrangements are offered.

IV. BUDGETARY CONSIDERATIONS

30. It is estimated that the cost of establishing an emergency stockpile will amount to $ 3.1 million. Supplies used from the stockpile will be charged to specific emergency operations, with the result that replenishment should, therefore, become an automatic process. The only recurring costs would be those related to emergency staffing which are anticipated to be in the order of some $ 900,000. These costs will subsequently be attributed as Support Costs to the emergency situations as they arise. The High Commissioner intends to meet the initial budgetary requirements from the Emergency Fund and by having resource to donors for special contributions.

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EXECUTIVE COMMITTEE OF THE
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Forty-second session

REPORT OF THE SUB-COMMITTEE ON ADMINISTRATIVE AND FINANCIAL MATTERS*

1. The meeting of the Sub-Committee on 27 June 1991 was opened by His Excellency, Ambassador Franz Ceska of Austria, Vice Chairman of the forty-first session of the Executive Committee and Chairman of the Sub-Committee on Administrative and Financial Matters. He extended a special welcome to the Deputy High Commissioner.

2. The Chairman introduced the proposed agenda and gave a background to the items listed for consideration; the proposed agenda was adopted.

3. The Sub-Committee then turned its attention to the Draft Report of the meeting of 3 May 1991 (EC/SC.2/1991/CRP.12). In addressing this agenda item, the Chairman drew attention to a proposed addendum to paragraph 14 of the Draft Report. The addendum was simply a factual reproduction of several statements made by delegations on the question of the consultant's report on funding mechanisms. The Draft Report was adopted with the proposed addendum.

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* This document was presented to the forty-second session of the Executive Committee of the High Commissioner's Programme under the symbol EC/SC.2/1991/CRP.17.

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Deputy High Commissioner's statement

4. The Sub-Committee then considered the agenda item dealing with current trends in programme/funding requirements 1991/92, in particular the new proposed target for General Programmes (see EC/SC.2/1991/CRP.13).

5. The Chairman invited the Deputy High Commissioner to address the meeting. In introducing his statement, the Deputy High Commissioner congratulated the Sub-Committee on its work over the last year under the energetic chairmanship of Ambassador Ceska; he said that UNHCR had everything to gain from an active Sub-Committee. Not only was this another way of assuring the transparency of its work, but it enabled UNHCR's management to keep in touch with the concerns of delegations.

6. The Deputy High Commissioner then spoke of the issues that had to be addressed if the United Nations and UNHCR was to respond quickly to complex emergencies. Among the requirements for an effective response, he singled out:

- first-rate disaster managers;
- top quality assessment teams;
- a world-wide on-line data base with information on needs, specifications and donations;
- a standby reserve (personnel, supplies and logistics);
- a high quality telecommunications link between New York, Geneva and Rome;
- some form of emergency fund available to the Secretary General and his agencies.

The Deputy High Commissioner went on to say that the constructive interest being shown by governments in the question of response to complex emergencies was appreciated by the High Commissioner and himself.

7. In spite of the generous response of governments to recent emergencies, the Deputy High Commissioner pointed out that various refugee situations still continued to place particular demands on UNHCR and unmet needs remained. Because of recent emergencies, overall needs under both General and Special Programmes had risen from $ 735 million to an estimated $ 980 million. He went on to say that while UNHCR's management had to be vigilant and stay within the limits of funding available for addressing these needs, it was felt that by sharing these increased needs at this early stage with governments, and by obtaining approval for a proposed increase in the General Programmes target, UNHCR would be in a better position to manage its resources and to organize its priorities, especially under General Programmes. The Deputy High Commissioner concluded by asking the Sub-Committee to consider sympathetically the proposed increase in the General Programmes' target from $ 355.6 million to $ 379 million.

General Programmes Target

8. The Controller introduced the Conference Room Paper which gave an update of UNHCR's Programme Expenditure, Funding and the Staffing Situation

(EC/SC.2/1991/CRP.13). In commenting on this document, he underlined the fact that it was not meant to replace the detailed documentation that would be made available prior to the next session of the Executive Committee.

9. As regards the proposed increase of the General Programmes target to $ 379,036,300, the Controller pointed to the significant new needs that had emerged in Africa. These new needs, as well as additional requirements in Yugoslavia and increases in PSA/PPE expenditure were the principal reasons for the proposed revision to the General Programmes target. Offsetting these increases had been important savings due to exchange rate variations. The anticipated reimbursements from WFP for internal transport, storage and handling (ITSH) had been revised upwards from $ 19.4 million to $ 20 million. The proposed revised 1991 budget also included a Programme Reserve of $ 7.5 million for the remainder of the year, as well as $ 20 million for the Emergency Fund.

10. In relation to 1992, the Controller noted that the budget figures presented were for information only; the Executive Committee would be asked to approve the 1992 budget estimates in October 1991. The Controller did, however, point out that the 1992 proposed General Programme budget would include a Programme Reserve amounting to 10 per cent of programmed activities. Such a Programme Reserve would give UNHCR the flexibility it used to have in the past in coping with new requirements under the General Programmes.

11. The Controller noted that in relation to the funding requirements of $ 368.2 million indicated for General Programmes, it was expected that even with a high rate of implementation, there would most likely be a slippage of 2-2.5 per cent which would mean that some $ 7 million might not be required.

12. As regards the overall staffing situation, the Controller again pointed out that the table provided in Conference Room Paper EC/SC.2/1991/CRP.13 (Annex 4) did not replace the more detailed presentation that would be presented to the Executive Committee. The overall increase of 61 posts since 1 January 1991, was primarily attributable to increases in Special Programmes (58 posts). In passing, the Controller observed that efforts to gain an increase of posts funded under the Regular Budget had, to-date, not been very successful. While it was envisaged that there would be some reductions in posts in certain locations in the second half of 1991, the Controller flagged increases in posts for new programmes that were expected to start up (Western Sahara, South Africa) and to strengthen the staffing resources in the Horn of Africa.

13. In the interventions of delegations in support of the proposed increase in the General Programmes target, a number of common observations were made:

- UNHCR had faced an extraordinary year and so the request for an increase to the target was understandable; this should not set a precedent;

- the proposed increase in 1992 in the Programme Reserve should also give more flexibility, thus reducing the need for reviews of the General Programmes' target in the course of the year;

- where possible, UNHCR should absorb additional expenses within available resources, especially through the efficient use of existing staff and innovative human resource management;

- approval of an increase in the target figure does not automatically mean an increase in income, still less is it an authorization to incur a deficit.

14. Numerous delegations expressed concern about the budgetary increases for the Europe and North America region; while the circumstances justifying the expansion of activities were known, it was felt that new demands should be met through the re-programming of assets, or by re-negotiating existing agreements. One delegation expressed concern that the Eastern European Appeal, especially in the light of the response to it, had been absorbed into General Programmes, and even perhaps without a review of its aims and objectives.

15. In response to these concerns, and elaborating on the revised budget and the estimates for 1992 for Europe and North America, the Controller said that the main increase was occasioned by the influx of Albanians into Yugoslavia. Included also in the new figures was provision for the Eastern European Project. The mechanism of absorbing Special Programmes into General Programmes was a long standing practice, and in the case in question this had been done in the light of contacts with relevant governments who had expressed the opinion that the purpose of the Project were within the parameters of General Programmes.

16. A number of delegations in supporting the proposed increase to the General Programmes target, expressed their concern that the new needs in Africa be addressed not only through funding, but effective operational arrangements. One delegation raised questions about how further new needs that might be identified in 1991 were going to be met, and asked for an explanation of the reduced level of the 1992 initial estimates.

17. In replying to these questions on the Africa situation, the Controller said that the intention was to use a range of mechanisms e.g. existing budget lines, the Programme Reserve to meet 1991 new needs etc., before having recourse to any new appeal. He cautioned, however, that this approach would not work if it was a question of new returnee movements, as these would not fit the criteria for General Programmes. In relation to the 1992 African estimates, the reduction was to be explained by a range of factors: one time infrastructure expenditure in 1991; exchange rate changes whose effect would be fully felt in 1992; absence of care and maintenance provisions in one country for which there was currently a special appeal for voluntary repatriation. The Controller pointed out, however, that the 1992 estimates did not include estimates for one country; should the situation change in that country, the estimates would need to be reviewed.

18. At the request of one delegation, the Controller explained the financial implications of an acceptance by governments of the proposed UNHCR-WFP agreement on the revised division of responsibilities. He referred to the

Conference Room Paper EC/SC.2/1991/CRP.13, Annex 2, where the projected expenditure in 1992 on transport was $ 58 million; this did not include the expected reimbursement of $ 20 million for ITSH under existing arrangements. Of the total of $ 78 million, $ 20-25 million would not fall within the envisaged responsibilities of WFP. The balance of approximately $ 35 million represented the additional resources which would be required by WFP (and not UNHCR) if the new arrangements came into effect in 1992. The Controller pointed out that the above potential budgetary reductions for UNHCR referred to General Programmes only.

19. A number of delegations expressed favourable comments on the Deputy High Commissioner's observations on the emergency response capability of the UN system, and in particular of UNHCR. Member States were themselves actively considering this question. The Director of Human Resources Management foreshadowed a paper to be presented by the High Commissioner on this subject to the Executive Committee.

20. The Head of Fund Raising Services in commenting on the extraordinary response of the international community to the world's refugee situation said that in the first six months of 1991, UNHCR had received a record $ 585 million. In relation to General Programmes, the present level of funding meant that already 10 months of the 1991 General Programmes expenditure were assured. He ascribed this positive situation not only to governments making early pledges, but to the fact that several governments had increased their contributions to General Programmes. He reiterated the funding priority of General Programmes. In relation to overall funding requirements, growing needs, especially those associated with voluntary repatriation movements, were underlined. The Head of Fund Raising Services concluded his intervention by appealing to governments to review their humanitarian budgets.

21. In response to questions from delegations, the Director of Human Resources Management expressed the hope that the review of issues such as career development and other personnel issues might have progressed to the extent that certain elements might be implemented in 1992. In regard to a staffing strategy for emergencies, he reiterated his thoughts on the need to assure a balance between seasoned UNHCR staff and external recruitment. In relation to a standby force, the Director explored a number of options for implementing such a strategy.

22. The Chairman in summing up the debate on the proposed increase to the General Programmes target, drew attention to document A/AC.96/XLI/CRP.16 with the text of a proposed resolution. The Sub-Committee agreed to recommend to the Executive Committee the proposed increase and accepted the draft resolution with minor editorial changes. The Deputy High Commissioner thanked the Sub-Committee for their support.

23. At the end of the session, one delegation drew attention to the increasing importance of the work of the Sub-Committee. A distinction between governance and management, especially micro-management was made. The delegate went on to say that what was called for from governments in assisting the management of UNHCR was governance that was characterized by consistency of approach.

24. The meeting closed with an expression of appreciation of the leadership given to the Sub-Committee by the Chairman and of the work of the Austrian delegation in assuring the success of the Sub-Committee's deliberations during the year.

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VOLUNTARY REPATRIATION

RESOURCE MOBILIZATION FOR VOLUNTARY REPATRIATION MOVEMENTS AND REINTEGRATION ASSISTANCE*

Introduction

1. To effectively discharge its mandate, UNHCR continues to explore ways of enhancing the capabilities of the Office, both to respond to refugee situations as they emerge and to resolve refugee situations when circumstances permit. This Conference Room Paper addresses this latter capability and explores options whereby UNHCR might better execute voluntary repatriation movements, with particular reference to the question of the mobilization of the necessary financial resources on a timely and adequate basis.

2. Voluntary repatriation has long been regarded as the preferred durable solution to a refugee situation. With the international political climate changing daily, a development which in turn is reflected in a renewed commitment to multilateralism, negotiations are under way in various parts of the world that provide grounds for hope that voluntary repatriation could soon become realizable for a large proportion of the world's refugees.

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3. Such repatriation movements and associated initiatives to re-integrate the returnees are at risk, however, because of a range of factors, especially the unavailability of timely funding. A range of circumstances have contributed to increased pressures on both international humanitarian and related development budgets. Ironically, the very international climate that makes voluntary repatriation a possibility, also has occasioned situations which create competition for international funds, thereby limiting voluntary repatriation as a viable and readily available option: new political realities need to be stabilized by emergency humanitarian aid and investments for the restructuring of economies. Moreover, the process of liberalization and democratization has witnessed, in some instances, the release of exaggerated nationalisms and accompanying ethnic strife which, in turn, have created emergencies that have made additional calls on humanitarian funds. Furthermore, recent major complex man-made emergencies have made corresponding calls on humanitarian budgets. Meanwhile, the North-South gap continues to widen with a toll of human misery that can only be adequately addressed by international initiatives which have significant financial implications.

4. All of these developments suggest that some resource mobilization mechanism(s) has to be found whereby voluntary repatriation movements are assured of being viable options and are not held hostage to the lack of availability of funds, both at the time when needed and in the amounts required. The possibility of voluntary repatriation, whereby individuals re-find that most precious of realities, namely their patria, needs to be cushioned against competing demands for limited international humanitarian and development funds.

5. The Executive Committee has given in depth consideration to the durable solution of voluntary repatriation on a number of occasions, the most recent being the adoption of a Conclusion on the subject at the Thirty-sixth session (1985) 1/.

6. This Conference Room Paper looks primarily at the funding dimension of voluntary repatriation and explores some mechanisms that would assure that opportunities for voluntary repatriation can be seized when they present themselves. Timely and well managed voluntary repatriation initiatives can only lead to a considerable reduction in costly care and maintenance programmes.

Present Expenditure

7. In 1990, UNHCR spent $ 63.8 million under General Programmes and Special Programmes on voluntary repatriation activities. In terms of expenditure on types of assistance (emergency assistance, care and maintenance, local settlement and resettlement), this constituted some 13.5 per cent of a total expenditure of $ 474.3 million (E/1991/65, Table 2). Care and maintenance ($ 281.5 million) amounted to 59.4 per cent.

1/ Conclusions 18(XXXI), 40(XXXVI); see Annex I for Conclusion 40.

8. A study of UNHCR Activities Financed by Voluntary Funds: Report for 1990-1991 and Proposed Programmes and Budget for 1992, Parts I-VI, (A/AC.96/774) highlights the emerging possibilities for significant return movements in the near future, in particular to Angola, Cambodia, Rwanda, South Africa and Western Sahara.

UNHCR's Role

9. The scope of UNHCR's involvement in voluntary repatriation movements has been well set out in Conclusions 18 (XXXI) and 40 (XXXVI) of the Executive Committee. The actual form of this involvement will depend, however, on the circumstances of a particular repatriation movement. Invariably this involvement focuses on a range of protection and assistance activities. As the majority of refugee situations are found to-day in under-developed countries, UNHCR's assistance activities might need to be complemented by development initiatives of relevant agencies, so as to assure the durability of any voluntary repatriation movement. In promoting the support of these agencies, UNHCR has an indispensable catalytic role.

10. UNHCR's protection and assistance activities are closely linked, with the latter often being the means to provide the former. The funding of voluntary repatriation movements invariably embraces protection and assistance elements. Once protection considerations have been assured, however, the progress of any voluntary repatriation movement is largely dependent on the ability of the Office to adequately finance related assistance activities.

11. The nature of the assistance activities to be undertaken by UNHCR to returnees will depend on particular circumstances. For example, in the case of rural refugees, assistance in the the various stages of their integration and rehabilitation is considered as being confined to the following:

(a) that extended for the actual repatriation movement e.g. transport, food/water for the journey, temporary shelter etc., and basic assistance to satisfy the immediate and individual needs of returnees e.g blankets, tools, seeds etc. Operational considerations will determine whether these last mentioned types of assistance will be provided to returnees at the time of their departure from the asylum country, or on arrival in their country of origin.

(b) short-term rehabilitation which would help the returnees towards a basic standard of living comparable to that of the local population; this would mainly be in the form of assistance to individuals but, where necessary, could take the form of limited support in improving the infrastructure of communities which have a concentration of returnees.

12. Longer-term assistance of a developmental nature, which would focus on the returnees, the indigenous population and the areas receiving the returnees would be the responsibility of development agencies. Here UNHCR would fulfil a catalytic role as envisaged in the Decision of the Fortieth Session of the Executive Committee (1989) on Refugee Aid and Development (A/AC.96/737, para. 32, Decision J). This catalytic role would consist in "the identification,

preparation and formulation of possible refugee-related development projects by host governments and development agencies and non-governmental organizations, with appropriate UNHCR involvement, and which would be subsequently implemented with funds administered by development agencies" (A/AC.96/737, para. 32 (d)).

13. One of the challenges confronting UNHCR is how to effectively promote the involvement of development agencies in repatriation movements. Most recently, discussions in fora such as the UNDP Governing Council and ECOSOC have highlighted the fact that relief, rehabilitation, reconstruction, and development are part of the same continuum. What is now required are the political will and effective mechanisms to assure the necessary linkage between refugee situations, especially voluntary repatriation movements, and development initiatives. With so many potential voluntary return movements on the horizon, the establishment of such predictable mechanisms takes on an urgency. Progress in the Consultative Committee on Substantive Questions (Operational Activities), a subsidiary body of the Administrative Committee on Coordination (ACC), on Guidelines for Refugee Aid and Development is promising in this regard.

Present Budgetary Arrangements

14. At the moment, from the point of view of UNHCR's Budget, the costs of the actual repatriation movement and basic needs (if provided on departure) as per 11 (a) above, are covered under General Programmes; as to short-term rehabilitation 11 (b), this would normally be the object of a Special Fund Raising Appeal. In the case of large-scale repatriation programmes, the costs related to 11 (a) might also have to be the object of a Special Fund Raising Appeal, where these costs cannot readily be absorbed within the General Programmes Budget.

15. Given the primacy that UNHCR attaches to voluntary repatriation as a durable solution, the question might be legitimately posed as to why only a modest amount for voluntary repatriation is funded through the General Programmes to which UNHCR attaches funding priority. The answer is that given financial constraints, UNHCR has had to focus under the programme target approved for General Programmes on life saving and life sustaining activites, especially care and maintenance, and thus far, could only include provisions for voluntary repatriation to the extent that such movements were on a small scale and could be programmed in advance..

16. The above budgetary arrangements highlight the extent to which voluntary repatriation movements are dependent on responses to Special Funding Appeals. Often this response is slow in forthcoming and fails to meet the level of assessed needs, thus adversely affecting the pace of implementation of the repatriation movement.

Proposals

17. UNHCR's responsiveness in the face of opportunities for voluntary repatriation would be considerably enhanced if it had recourse to an assured source of funding to meet short-term reintegration/rehabilitation costs. The High Commissioner invites donors to explore possible ways of meeting these

perceived needs. The availability of resources to meet such needs would enable the High Commissioner to engage in more concrete forward planning, especially in regard to the necessary measures to be taken on behalf of returnees in their country of origin, thus making repatriation a more viable proposition.

18. In addition, UNHCR proposes that there be included in future General Programme targets, more substantial provisions to promote voluntary repatriation and to meet costs of transportation/movements, as well as any basic needs that are to be provided on departure. In this way also, the preferred durable solution of voluntary repatriation would figure more prominently among UNHCR's funding priorities as reflected in General Programmes. Should such an initiative find support with Member States, more specific options would be presented to the Sub-Committee on Administrative and Financial Matters in discussions on the General Programmes target.

19. Governments are invited to explore the above proposals in the course of their deliberations in the Sub-Committee on Administrative and Financial Matters.

No.40 (XXXVI) VOLUNTARY REPATRIATION*

The Executive Committee,

Reaffirming the significance of its 1980 conclusion on voluntary repatriation as reflecting basic principles of international law and practice, adopted the following further conclusions on this matter:

(a) The basic rights of persons to return voluntarily to the country of origin is reaffirmed and it is urged that international co-operation be aimed at achieving this solution and should be further developed;

(b) The repatriation of refugees should only take place at their freely expressed wish; the voluntary and individual character of repatriation of refugees and the need for it to be carried out under conditions of absolute safety, preferably to the place of residence of the refugee in his country of origin, should always be respected;

(c) The aspect of causes is critical to the issue of solution and international efforts should also be directed to the removal of the causes of refugee movements. Further attention should be given to the causes and prevention of such movements, including the co-ordination of efforts currently being pursued by the international community and in particular within the United Nations. An essential condition for the prevention of refugee flows is sufficient political will by the States directly concerned to address the causes which are at the origin of refugee movements;

(d) The responsibilities of States towards their nationals and the obligations of other States to promote voluntary repatriation must be upheld by the international community. International action in favour of voluntary repatriation, whether at the universal or regional level, should receive the full support and co-operation of all States directly concerned. Promotion of voluntary repatriation as a solution to refugee problems similarly requires the political will of States directly concerned to create conditions conducive to this solution. This is the primary responsibility of States;

(e) The existing mandate of the High Commissioner is sufficient to allow him to promote voluntary repatriation by taking initiatives to this end, promoting dialogue between all the main parties, facilitating communication

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*CONCLUSION ENDORSED BY THE EXECUTIVE COMMITTEE OF THE HIGH COMMISSIONER'S PROGRAMME UPON THE RECOMMENDATION OF THE SUB-COMITTEE OF THE WHOLE ON INTERNATIONAL PROTECTION OF REFUGEES.

between them, and by acting as an intermediary or channel of communication. It is important that he establishes, whenever possible, contact with all the main parties and acquaints himself with their points of view. From the outset of a refugee situation, the High Commissioner should at all times keep the possibility of voluntary repatriation for all or for part of a group under active review and the High Commissioner, whenever he deems that the prevailing circumstances are appropriate, should actively pursue the promotion of this solution;

(f) The humanitarian concerns of the High Commissioner should be recognized and respected by all parties and he should receive full support in his efforts to carry out his humanitarian mandate in providing international protection to refugees and in seeking a solution to refugee problems;

(g) On all occasions the High Commissioner should be fully involved from the outset in assessing the feasibility and, thereafter, in both the planning and implementation stages of repatriation;

(h) The importance of spontaneous return to the country of origin is recognized and it is considered that action to promote organized voluntary repatriation should not create obstacles to the spontaneous return of refugees. Interested States should make all efforts, including the provision of assistance in the country of origin, to encourage this movement whenever it is deemed to be in the interests of the refugees concerned;

(i) When, in the opinion of the High Commissioner, a serious problem exists in the promotion of voluntary repatriation of a particular refugee group, he may consider for that particular problem the establishment of an informal ad hoc consultative group which would be appointed by him in consultation with the Chairman and the other members of the Bureau of his Executive Committee. Such a group may, if necessary, include States which are not members of the Executive Committee and should in principle include the countries directly concerned. The High Commissioner may also consider invoking the assistance of other competent United Nations organs;

(j) The practice of establishing tripartite commissions is well adapted to facilitate voluntary repatriation. The tripartite commission, which should consist of the countries of origin and of asylum and UNHCR, could concern itself with both the joint planning and the implementation of a repatriation programme. It is also an effective means of securing consultations between the main parties concerned on any problems that might subsequently arise;

(k) International action to promote voluntary repatriation requires consideration of the situation within the country of origin as well as within the receiving country. Assistance for the reintegration of returnees provided

by the international community in the country of origin is recognized as an important factor in promoting repatriation. To this end, UNHCR and other United Nations agencies as appropriate, should have funds readily available to assist returnees in the various stages of their integration and rehabilitation in their country of origin;

(l) The High Commissioner should be recognized as having a legitimate concern for the consequences of return, particularly where such return has been brought about as a result of an amnesty or other form of guarantee. The High Commissioner must be regarded as entitled to insist on his legitimate concern over the outcome of any return that he has assisted. Within the framework of close consultations with the State concerned, he should be given direct and unhindered access to returnees so that he is in a position to monitor fulfilment of the amnesties, guarantees or assurances on the basis of which the refugees have returned. This should be considered as inherent in his mandate;

(m) Consideration should be given to the further elaboration of an instrument reflecting all existing principles and guidelines relating to voluntary repatriation for acceptance by the international community as a whole.

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A STUDY OF UNHCR EMERGENCY PREPAREDNESS AND RESPONSE: PRELIMINARY CONCLUSIONS FROM THE PERSIAN GULF*

1. In the twelve months which have passed since the Executive Committee last met, massive new population displacements have taken place in the Persian Gulf and the Horn of Africa. These events have not only presented UNHCR and other members of the international community with an enormous practical challenge, but have also stimulated a wide-ranging debate about the capacity of the United Nations to respond to humanitarian emergencies.

2. In order to improve UNHCR's emergency preparedness and response, the Evaluation Section is currently undertaking a detailed study of the organization's role and performance in recent emergency operations. The study is being carried out by a small team of internal and external staff with extensive experience in both the evaluation and overall management of humanitarian emergencies. This conference paper, which is based primarily on an examination of the Persian Gulf crisis, presents some of the team's preliminary conclusions.

I. CO-ORDINATION: A NEED FOR GREATER CLARITY

3. Much of the discussion concerning the UN system's performance in the Persian Gulf has focussed on the issue of co-ordination. This is understandable in view of the many components of the UN system at both

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headquarters and field levels which claimed a co-ordinating or lead agency role. At different phases of the emergency, these included UNDRO, UNDP, UNHCR, the Office of the Secretary-General's Executive Delegate, and the Senior UN Emergency Managers who were appointed to several countries in the region. Inevitably, these claims generated confusion as to who was actually responsible for various elements of the operation.

4. Clarity of roles, however, is not the only issue that must be addressed in future emergencies. Experience in the Persian Gulf has demonstrated the need for a closer integration of the policymaking and operational functions, especially in situations involving delicate protection principles. More attention must also be given to the ways in which UNHCR can operate in situations which do not fall clearly within its mandate.

5. In an emergency, a single operational agency must be responsible for ensuring that all sectors are covered, through its own activities or those of other organizations. Regardless of the goodwill existing amongst the agencies, differences in mandate, policies, procedures and orientation may lead to confusion and inefficiency when a strictly sectoral division of labour is applied to a single caseload. At the same time, competition for scarce resources and public recognition often creates conflict.

6. In recent years there has been considerable emphasis on the need to give specialised agencies responsibility for activities that fall within their sectoral competence, in order to establish a more rational division of labour within the UN, and to ensure that refugee assistance and developmental programmes are properly integrated. UNHCR evaluations have repeatedly underscored the value of this approach, especially when a refugee or returnee situation has moved beyond the emergency phase. As the Persian Gulf operation has demonstrated, it is far less appropriate in the early stages of a crisis, when speed of response requires clear authority and direct lines of command.

7. Attempts to parcel out operational responsibilities to different agencies can only work effectively when those responsibilities do not overlap. In the Persian Gulf, for example, co-operation between UNHCR, IOM and WFP was exemplary. In certain sectors, however, some activities were duplicated, while others were neglected. Significantly, the allocation of responsibilities established in the original UN plan of action for the Persian Gulf proved unsatisfactory. In constructing a more rational formula, UNHCR was eventually nominated as the lead agency, and asked to provide overall operational co-ordination in the field for the refugee and returnee programme.

II. MANAGEMENT METHODS: SPECIAL PRACTICES ARE REQUIRED

8. Regardless of the outcome of current discussions concerning the co-ordination of humanitarian activities, UNHCR may be asked to assume a similar role in future refugee-related disasters. If it is to do this effectively, UNHCR must change its methods of emergency management.

9. Emergency operations cannot be managed as if they were regular programmes running at an accelerated pace. In recent emergencies, efforts to move existing systems and procedures at speeds for which they were not intended

have absorbed tremendous amounts of time, energy and effort. UNHCR must develop management structures, systems and procedures designed to meet the specific needs of these situations.

10. Lessons can be learned from the type of operations undertaken by military forces and civilian emergency services, where the need for a rapid and effective response bears a close similarity to that required of the UN system in a humanitarian disaster. In particular, greater emphasis must be placed on operational objectives, establishing a clear chain of command, decentralization and rapid decision-making. When confronted with a disaster, emergency managers must be able to move away from the consensus and control-based styles appropriate to more conventional and slower-paced activities.

11. Many important principles of emergency management were successfully adopted in the Persian Gulf. Most noteworthy perhaps, was the extent to which overall strategy was consistently oriented towards solutions rather than relief. In addition, emergency operations were separated from slower-moving regular programmes, while considerable decision-making authority was delegated to key in-country staff members. On the other hand, neither the chain of command nor roles and responsibilities in the field were clarified to the extent desirable.

12. In future emergencies, greater efforts should be made to ensure that decision-making at headquarters is concentrated in a small group of people, authorized to take decisions without reference to their superiors. Meetings intended to determine overall policies must be more clearly separated from those designed to take operational decisions or to share information.

III. PREPAREDNESS MEASURES: SPECIFIC STEPS CAN BE TAKEN

13. In addition to modifying management practices, the adoption of a number of general preparedness measures would significantly strengthen UNHCR's emergency capability. These include:

- creating a formal mechanism which enables senior management to declare that an emergency exists, thereby triggering a set of accelerated administrative, financial and staffing procedures;

- stockpiling basic relief items, and establishing a quickly accessible reserve supply of appropriate items such as telecommunications equipment, computers and vehicles;

- negotiating formal agreements with the governments of emergency-prone countries, covering issues such as UNHCR representation, the importation of goods, vehicle registration, the use of radio frequencies and the granting of visas and travel permits;

- establishing prior arrangements with donor states which are willing to provide UNHCR with financial and material resources, as well as logistical support in the early stages of an emergency; and,

- formalizing agreements with UN and non-governmental organizations, as well as national disaster and civil defence corps, regarding their prospective role in emergency operations and the secondment of staff and technical specialists to UNHCR.

14. These measures, designed to increase UNHCR's general level of preparedness, could be taken independently of any efforts to establish the kind of early warning procedures which have frequently been proposed as a means of predicting and preparing for specific refugee movements. Recent experience in the Persian Gulf and other regions of the world has demonstrated the difficulty of making accurate forecasts regarding the location, size and direction of population displacements. Even when such forecasts have been made, it has proved extremely difficult to mobilize in advance the scarce host and donor country resources required for preparedness measures to be taken.

IV. HUMAN RESOURCES: NEW APPROACHES ARE IMPERATIVE

15. The most frequent and serious criticism of UN emergency operations throughout the last decade has been that the right people were not in the right place at the right time. There is overwhelming evidence of the need to ensure that a corps of suitably senior, experienced and trained officers can be sent immediately to the scene of an emergency, with the necessary authority to take decisions. Their presence is vital, not only to guarantee that relief operations are rapidly launched, but also to co-ordinate the work of other agencies and to ensure that technical specialists and less experienced field workers receive proper guidance.

16. Repeated efforts have been made to staff emergency operations through the redeployment of key staff from other functions and locations. This approach, however, has never proved workable. The current initiative for the creation of an expanded emergency staffing capacity within UNHCR (see Conference Room Paper EC/SC.2/1991/CRP.14), would appear to address this longstanding problem. This new staffing system should also be accompanied by a greater acceptance of the need to replace regular programme staff in key posts at headquarters and in the field with emergency staff who possess skills and experience which are appropriate to the demands of the emergency.

17. One of the most innovative and promising initiatives to emerge from the Persian Gulf operation was the mobilization of large numbers of additional UNHCR field staff through a secondment programme funded and organized by the governments and refugee councils of Denmark, Norway and Sweden. The Nordic programme greatly enhanced UNHCR's presence and operational capability in the region, and should become an integrated feature of UNHCR's emergency response capacity.

18. There is, however, a danger that the model will be perceived as a panacea to the problem of emergency staffing. The operation has clearly demonstrated that external staff, brought into the organization on a short-term basis, can

only work effectively when regular UNHCR staff members are present in sufficient numbers to guide their work. Initial experience with the programme has also highlighted the need to place greater emphasis on pre-selection and training of seconded relief workers to ensure that they can be effectively and smoothly integrated into demanding operations.

V. STAFF SUPPORT: MORE SYSTEMATIC EFFORTS ARE ESSENTIAL

19. If they are to perform successfully, all staff, whatever their origin or status, must be provided with adequate support upon their arrival in the field. Innumerable examples can be found in the Persian Gulf and other recent emergencies where there was a critical lack of vehicles, communications equipment, office facilities, and even, in some circumstances, shelter, food and clean water.

20. As part of its general emergency preparedness measures, UNHCR must adopt a professional and comprehensive approach to staff support, including the development of more advanced, purpose-designed mobilization packages which would facilitate the work of both staff members and operational partners.

21. Despite the emphasis which UNHCR has placed on emergency training in recent years, relatively few staff with advanced training have been deployed in emergency situations. It has become increasingly evident that existing emergency training programmes need to be reviewed and better targeted towards teams of staff members who are most likely to work in emergency situations.

22. More systematic efforts are also required to develop and disseminate packages of background, briefing and training materials. On too many occasions, UNHCR and agency staff members in isolated locations have found themselves without essential guidance.

VI. MATERIAL RESOURCES: NEW ARRANGEMENTS SHOULD BE ESTABLISHED

23. Recent emergencies have demonstrated that it is difficult for UNHCR alone to provide the material resources required to meet the needs of a large-scale and rapidly evolving emergency. While the recent enlargement of the Emergency Fund and the current initiative to establish a stockpile of basic relief items will undoubtedly enable the organization to respond more effectively (see Conference Room Paper EC/SC.2/1991/CRP.14), it will still be constrained by its limited logistical capacity.

24. In order to mobilize material resources, UNHCR must establish arrangements which will allow the UN system to draw on the relief capacity of states. The extent of this capacity was amply demonstrated in the Persian Gulf, where, in comparison with other recent refugee emergencies, there were relatively few shortages of relief supplies. The need to guide and co-ordinate inputs, however, was clearly demonstrated by the extent to which relief items were poorly targeted, inappropriate to needs and provided in excessive quantities.

25. The United Nations has the potential to greatly improve its response to humanitarian disasters. Experience has shown, however, that interest in

emergency preparedness wanes as other priorities present themselves, particularly during periods of financial austerity. Hopefully, the emergencies witnessed over the past twelve months have conclusively demonstrated the need for UNHCR to improve its standby response capacity. UNHCR must accept that its effectiveness as a humanitarian organization will to a large extent be judged by its performance in emergencies.

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THE FUND RAISING FUNCTION OF UNHCR: STRATEGIES FOR RAISING FUNDS FOR REFUGEES*

Introduction

1. This Conference Room Paper contains the observations of UNHCR on the study undertaken by The Fund Raising Center entitled An Analysis and Evaluation of the Fund Raising Function (January-March 1991). It will be recalled that at the 3 May 1991 Meeting of the Sub-Committee on Administrative and Financial Matters (A/AC.96/770) there had been a preliminary discussion of the study. In commenting on the study, the Head of the Fund Raising Services told the same meeting that the Secretariat would be undertaking a detailed analysis of the recommendations to determine what could be implemented and the modalities of such implementation. This Conference Room Paper reflects the outcome of that analysis.

Preliminary observations

2. Several delegations at the Sub-Committee Meeting of 3 May expressed appreciation of the consultant's report as a useful analysis and evaluation of the fund raising functions within UNHCR, but questioned whether the report had

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addressed all the issues of concern to the Executive Committee Temporary Working Group in relation to funding mechanisms (A/AC.96/742, para.40,(h)-(k)). The validity of this comment is reflected in the title of this Conference Room Paper; the observations which follow focus on the fund raising function within UNHCR.

Recommendations of the consultant

3. The principal recommendations are set out in pages iii and iv of the Executive Summary of the Report (see EC/SC.2/1991/CRP.6 of 24 April 1991). In addition, the study makes a number of recommendations for the re-structuring of the Fund Raising Service, as well as proposals for additional personnel and budgetary support as UNHCR's funding base allows. It also proposes a schedule of activities for the first 18 months of an expanded fund raising effort. The proposals as well as the recommendations will be considered in this Paper.

4. The recommendations cover a range of disparate issues and are directed at various parties: donor governments, non-donor governments, UNHCR etc. While some of the recommendations appear to have a somewhat contrived and arbitrary character e.g. projected monetary targets, the value of the Report as a whole is that it has allowed UNHCR to focus on a ange of issues and to clarify its fund raising policies and strategies. The points that follow summarize elements of that policy and strategy.

Overall goals and strategies

5. To date, UNHCR has not been involved in any meaningful way in fund raising in the strict sense of the term; rather, its efforts have been directed principally to making known to governments UNHCR's assessed needs and to negotiating with governments the precise use of their contributions, as well as reporting on the same. What is now proposed are specific strategies to broaden its donor base, especially in the private sector, re-focus the efforts of the Fund Raising Service so that its efforts are directed to strict fund raising activities and in concentrating on a precise set of funding priorities.

6. UNHCR's fund raising capacity is intimately linked with a range of other issues: the Office's clear perception of its role as an humanitarian organization whose relevance is creatively communicated; the perceptions of the performance of UNHCR and judgements of the donor community on the efficiency of UNHCR in serving the cause of refugees; the effectiveness of the Office in projecting the needs of refugees, etc. While UNHCR's fund raising function is inextricably linked to these other factors, this Conference Room Paper confines itself to a consideration of fund raising issues per se.

7. Strategies for fund raising have a direct relationship to the Office's overall corporate goals that have been clearly articulated by senior management and the more particular objectives of increasing the resources

8. The Office's overall goal of attending to the needs of refugees can be prioritized in three specific objectives in terms of fund raising:

- assuring the funding of General Programmes;
- providing funds in support of emergency preparedness and emergency response;
- improving the the Office's resource base so as to be able to respond better to voluntary repatriation opportunities.

9. In terms of strategies to assure funding of these goals, the following is proposed:

- a more systematic approach to the governmental sector;
- renewed efforts vis-à-vis the private/corporate sector;
- a more creative use of human resources dedicated to the fund raising function;
- an enhanced working relationship with the Public Information Section of UNHCR.

The governmental sector

10. This sector is the primary source of UNHCR's funds. So as to better exploit this source, a differentiated strategy has been developed with three particular groupings in mind. These three groups are:

- traditional major donors;
- other donor governments;
- potential donor governments.

11. In regard to the traditional major donors, the goal is to maintain (and if possible to increase) their level of support. In consolidating and building on the excellent existing relationship, issues that have been identified as important are:

- better reporting (see below);
- an enhanced understanding by UNHCR of the funding mechanisms and assistance priorities of the concerned governments, e.g. women, refugee children, etc. as well as of other specific considerations and regional emphasis underlying their humanitarian and development budgets.

12. In the category of other donors are those governments from whom UNHCR would hope to increase its share of their humanitarian budgets. Strategies to achieve this would include high-level representation to ministers and parliamentarians etc., complemented by detailed presentations of the needs of refugees and the work of UNHCR.

13. The third government category embraces those who to-date have not been

14. In seeking to engage more meaningfully the governmental sector in the work of UNHCR, an enhanced role is envisaged for some Branch Offices of UNHCR in coordination with the Fund Raising Service, as well as greater coordinated use of the Public Information Section of UNHCR.

Non-governmental sector

15. Long considered as one of the untapped sources of extra funds for UNHCR, this sector will receive special emphasis in UNHCR's fund raising strategies. UNHCR will seek to work cooperatively with NGOs in approaching parts of the private sector. Recent initiatives by the High Commissioner in regard to one country have borne out the potential of this source of funds. What will be important in any approaches to this sector will be sensitivity to a range of factors, especially the role of NGOs in a given country and the extent to which they rely on part of the private sector e.g. the general public, for their own funding.

16. Rather than being seen to be competing with NGOs, potential exists for joint UNHCR-NGO approaches for specific programmes for a particular refugee situation for which there is public sympathy and concern. Such initiatives will be planned in cooperation with UNHCR's NGO Unit.

17. In relation to the possible role of Country/National Support Committees in creating public awareness of refugee issues and in facilitating access to the private sector, a nuanced approach will be required. The function of such groups will vary from country to country (USA, Spain, France, Japan ...). What is imperative, however, is that such associations will need to be provided with adequate support and servicing. Here the Branch Offices of UNHCR and the Public Information Section of UNHCR have also an important role.

Staffing considerations

18. An enhanced fund raising strategy obviously will depend on the professionalism of the Fund Raising Services (FRS) within UNHCR. This implies a recognition that fund raising is an "art". The corollary of this recognition is that staff assigned to or working in FRS need appropriate training in fund raising, in addition to being well versed in all aspects of UNHCR's programmes and related budgetary practices. Having invested in FRS staff to acquire this professionalism, the question that will have to be addressed by management is the duration of the Standard Assignment Length (SAL) of staff working in the FRS. This recognition of the specialist nature of fund raising work should not preclude the rotation of staff in FRS to the field; field experience provides FRS staff with the indispensable experience of refugee situations that assists them in "selling", in a convincing manner, the refugee cause.

19. There are no immediate plans to increase the number of staff working in Fund Raising Services. The incremental approach, however, as recommended by

20. A more significant role should be played by Branch Office staff in the fund raising activities of the Office. Support for Country/National Support Committees will call for greater involvement of Branch Office staff.

Public Information

21. The success of fund raising is intimately linked with the preparation and presentation of what is technically called the "case for support", namely the data, research, statistics and analysis which go to make up the "case statement" described in the Study as "the focus of persuasion of a fund raising endeavour". The preparation of such a statement or series of particular statements requires the professional input of the Public Information Section. A study entitled A Communications Strategy for the Office of the United Nations High Commissioner for Refugees (July 30, 1991) has pointed out a strong media presence would obviously facilitate UNHCR's efforts to approach the private sector for funds.

Reporting

22. As the Funding Center study points out, a disproportionate amount of time of the staff working in FRS is taken up with reporting to donors. The Sub-Committee on Administrative and Financial Matters could, therefore, consider this question of reporting requirements. The same issue was raised in the Donors Briefing Paper on UNHCR/WFP Cooperation (18 June 1991). Most recently, the Advisory Committee on Administrative and Budgetary Questions (ACABQ) in its Report on UNHCR Activities financed by Voluntary Funds for 1990-1991 and Proposed Programmes and Budget for 1992 (A/AC.96/780, para.5), made the general observation that "some of the current procedures for reporting on programme management, implementation and evaluation of projects are cumbersome and costly. The Committee recommends that UNHCR, in close consultation with donors, should streamline its reporting and payment procedures to make them more manageable and cost effective (see documents A/AC.96/773, para.5(e) and A/AC.96/761)." Given the notable improvement in general reporting by way of bulletins and newsletters, and the potential to enhance existing reporting mechanisms e.g. Executive Committee documentation, it is hoped that the question of excessive reporting requirements can be negotiated to the satisfaction of the parties concerned.

Conclusion

23. The above issues will be further elaborated on in the deliberations of the Sub-Committee on Administrative and Financial Matters in the course of the coming year. The High Commissioner looks to Member States to assist the Office in establishing a more dynamic and effective Fund Raising Service in the service of refugees.

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